

## DEALING WITH COMPLAINTS AND APPEALS

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## DEALING WITH COMPLAINTS AND APPEALS

### 1. Scope and application field

The scope of this procedure is to define the modalities and responsibilities in order to deal with the complaints and appeals-handling that might be presented by the customers and by other parties caused by lack of satisfaction about the performances, and services provided by the SMC Slovensko a.s. in its activities of evaluation and certification of management systems, and in other fields, and provided by certified clients in product or services issued.

### 2. Definitions and acronyms

We apply to this procedure the definitions of the Standards ISO 9000:2015 and ISO 19011:2018.

Acronyms:

DT: Technical Director

RSQ: Person responsible for the management quality system

AU: Legal representative

NC: Nonconformities

AC: corrective actions

### 3. Responsibilities

**RSQ** is responsible for writing, verifying and distributing this procedure.

**AU** is responsible for the approval of this procedure.

The other responsibilities are defined in this procedure and in the procedures mentioned as internal references.

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### 4. Operative modalities

Are considered:

- Appeals, formal appeals presented from any parts to the competent authority of SMC Slovensko in order to examine a situation in order to obtain change or cancellation of a decision (e.g. related to a complaint decision or a certification decision).
- Complaints, unsatisfied displays, by the subject certified or under certification in regarding to the service received (for example contractual relation, delays in the compliance of the various phases of the certification process, auditor's behaviour or SMC Slovensko's behaviour considered incorrect ) or from any other part, or unsatisfaction of thirds in respect to products or services issued by certified clients.

#### Complaints

Every organization that uses SMC Slovensko a.s.' services or other interested parties has the right to present complaints against the behaviour or performances of the SMC Slovensko a.s., that will provide with written evidences of its reception.

SMC Slovensko a.s. receiving the complaint is responsible for all decisions at all levels of the complaint-handling process.

Submission, investigation and decision on complaints do not result in any discriminatory actions against the complainant.

At the reception of the complaint SMC Slovensko a.s. confirms whether the complaint relates to certification activities that it is responsible for and, if so, deal with it. If the complaint relates to a certified client, then examination of

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the complaint shall consider the effectiveness of the certified management system.

Any valid complaint about a certified client is referred by SMC Slovensko to the certified client in question at an appropriate time.

The process of complaints-handling is subject to confidentiality.

Complaints can be sent by email or via mail and should contain

- Name and address of the person making the complaint
- E-mail
- The reason for the complaint

The complaints are examined by AU that will appoint a person from its staff not involved in the complaint. An initial response will be given within 7 working days as acknowledgement of the receipt of the complaint and informs the complainant of progress report and of the result of the complaint within 45 working days from the receiving of the complaint. The final result will be sent by email or registered mail.

SMC Slovensko gathers and verify all necessary information to validate the complaint.

Once received, the complaint is analysed and verified and needed corrective actions and treatment will be implemented. Records of complaints and connected corrective actions are kept by RSQ accordingly to PQ05 and kept for at least 5 years.

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SMC Slovensko determines, together with the certified client and the complainant whether and, if so to what extent, the subject of complaint and its resolution shall be made public.

The complainant can appeal the decision on a complaint in case the response is not considered satisfactory.

For ISMS complaints represent a potential incident and an indication to possible non conformity.

### Appeals

SMC Slovensko, that receives the appeal, is responsible for all the decision at all levels of the appeals-handling process. The personnel engaged in the appeals-handling process are different from those who carried out the audits and made the certification decision.

Submission, investigation and decisions on appeals do not result in any discriminatory actions against the appellant.

SMC Slovensko receives appeals only by formal mail. The appeal should contain the information of the appellant, the reasons for making the appeal.

SMC Slovensko is responsible for gathering and verifying all the necessary information to validate the appeal.

SMC Slovensko a.s. acknowledges receipt of the appeal within 7 working days from the receiving of the appeals and will provides the appellant with progress report and with the outcome within 45 working days from the receipt of the appeal. The final result will be provided at the end of the appeals-handling process by email or registered mail.

The decision to be communicated to the appellant is made by, or reviewed and approved by individual(s) not previously involved in the subject of the appeal.

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SMC Slovensko formally notify to the appellant the result for the treatment of appeals.

The appeals and corrective actions are recorded according to PQ05 and they are kept for at least 5 years by the RSQ.

The appeals not solved can turn into disputes and into legal actions. In that case, the competent court is in Bratislava.

The delivered judgments in consequence of the disputes are filed and kept by the RSQ of the SMC Slovensko a.s. together with the appeals that have produced them.

All the records concerning the complaints, appeals are at the disposition of the accreditation bodies by the SMC Slovensko a.s.

### Communications

Communications, comments and information from clients that cannot be classified as appeals or complaints or legal actions are recorded in mod 5.5 and analyzed by RSQ and AU and validate by them in relation to any possible action to take.

### **Records**

The records produced by this procedure are filed under the dispositions contained in it.

## **6. Internal and external references**

External

ISO/IEC 17021-1:2015- ISO 27006:2015

*Internal*

MQ,PQ 05,General certification regulation